

# POLICY MANUAL

## State Mental Health, Mental Retardation and Substance Abuse Services Board Department of Mental Health, Mental Retardation and Substance Abuse Services

### POLICY 1037 (SYS) 05-4 Individual Consumer Information and the Community Consumer Submission

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Authority	Board Minutes Dated September 7, 2005 Effective Date: September 7, 2005 Approved by Board Chairman <u>B. Hunt Duster/njm 9/21/05</u>
References	§§ 37.2-500, 37.2-504, 37.2-508, 37.2-601, 37.2-605, and 37.2-608 of the <i>Code of Virginia</i> (1950), as amended STATE BOARD POLICY 1021 (SYS) 87-9 Core Services STATE BOARD POLICY 1034 (SYS) 05-1 Partnership Agreement STATE BOARD POLICY 4018 (CSB) 86-9 Community Services Board Performance Contracts Current Community Services Performance Contract Current Core Services Taxonomy Current Community Consumer Submission
Background	<p>Sections 37.2-500, 37.2-508, 37.2-601, and 37.2-608 of the <i>Code of Virginia</i> authorize the Department to fund community mental health, mental retardation, and substance abuse services through performance contracts that it negotiates annually with each community services board or behavioral health authority, hereinafter referred to as CSBs. Sections 37.2-504 and 37.2-605 require CSBs to release data and information about individual consumers to the Department, as long as it implements procedures to protect the confidentiality of that data and information. Sections 37.2-508 and 37.2-608 require CSBs to provide data and information about individual consumers to the Department in order to receive state-controlled funds.</p> <p>STATE BOARD POLICY 1021 defines the core of mental health, mental retardation, and substance abuse services to be provided by CSBs. The policy also states that the current core services taxonomy shall be used to classify, describe, and measure the services delivered by all CSBs.</p> <p>STATE BOARD POLICY 4018 establishes the community services performance contract as the primary funding and accountability mechanism between the Department and CSBs. The Department has funded community services</p>

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### **Background** *(Continued)*

through these contracts since 1985. All of the services in the community services performance contract and the associated contract reports are defined in the current core services taxonomy.

Until Fiscal Year (FY) 2004, the Department collected and utilized only aggregate, summary data about consumers receiving services from CSBs, except for some individual data about consumers receiving substance abuse services. As state and federal reporting requirements continually became more extensive and complex, the Department and CSBs identified a need to be able to respond to these requirements in a more efficient, less burdensome manner.

The Department and the Data Management Committee (DMC) of the Virginia Association of Community Services Boards developed the community consumer submission (CCS) during 2002 and 2003 to meet this need. The Department issued the original CCS specifications on September 3, 2003, for implementation by CSBs in FY 2004. CCS requirements were incorporated into the FY 2004 and FY 2005 community services performance contracts. The CCS enables CSBs and the Department to comply with federal and other reporting requirements more efficiently and effectively, respond more easily to ad hoc data requests, maintain fewer stand-alone software applications and reports, and reduce their respective administrative workloads. The CCS extracts data from local CSB information systems, rather than requiring additional data entry into separate applications; this eliminates repetitive entry of the same information in different automated or manual reports and ensures greater data accuracy and reliability. The CCS software then transmits the extracted individual consumer and services data to the Department. The Department analyzes this consumer and services data and uses it to satisfy state and federal reporting requirements, respond to requests for information, and monitor and analyze the operations of the services system.

The Department and the DMC developed the second version of the community consumer submission (CCS 2) in 2004 and 2005 to address data and reporting requirements that emerged after development of the original CCS. Like the original CCS, CCS 2 has been reviewed and approved by the CSB Executive Directors. The CCS 2 adds only a few new data elements; most of the additions involve expanded consumer race categories to comply with federal requirements and a capacity to report more diagnoses in order to capture co-occurring disorder information. The data elements in the CCS are defined and described in the community consumer submission data element definitions. The services for which information is collected through the CCS are defined in the core services taxonomy. Both versions of the CCS are excellent examples of the partnership and collaboration that exists between the Department and the CSBs.

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<b>Purpose</b>	To articulate policy for the collection and use of individual consumer and service information and to establish the community consumer submission as the mechanism through which this information will be collected, reported, and utilized for consumers receiving services from CSBs.
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<b>Policy</b>	It is the policy of the Board that data and information about individual consumers receiving services from CSBs and about the services that they receive shall be collected by CSBs, reported by CSBs to the Department, and used by the Department and CSBs to monitor and evaluate the effectiveness and efficiency of services; to identify, monitor, and report consumer outcome and provider performance measures; and to make decisions about the development and operation of services, locally and at the state level.
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Further, it is the policy of the Board that, in all circumstances, the Department and CSBs shall identify collaboratively the minimum data needed to satisfy a specific requirement or accomplish a particular task or responsibility, in order to limit the imposition of additional workload burdens on direct service and administrative support staff. Nothing in this policy should be construed to limit the abilities of the Department or CSBs to obtain and utilize any data or information necessary to carry out their legal responsibilities, duties, or authorities.

It also is the policy of the Board that data and information about individual consumers receiving services from CSBs and about the services that they receive shall be collected through the community consumer submission (CCS) to the greatest extent practicable. The Department and CSBs shall use the CCS whenever possible to collect, report, and utilize all required data and information about consumers receiving services from CSBs and the services that they receive and shall avoid the development and implementation of other separate, stand-alone data collection and information system applications. In order to address needs for particular data that are not included in the CCS, the Department and CSBs shall develop and implement a special report function for the CCS. This function will link data elements in the CCS with additional data elements needed to enable the Department and CSBs to manage, monitor, and evaluate special projects and initiatives funded by the Department and report these additional elements through the CCS extract. The special report function will eliminate duplicate data entry of information already in the CCS, while allowing CSBs to collect and the Department to receive additional information required for special projects.

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## **POLICY 1037 (SYS) 05-4, Continued**

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**Policy**

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Further, it is the policy of the Board that all current and future requirements for individual consumer and service data and information shall be consistent with each other and with the current core services taxonomy and the current community consumer submission, which includes the CCS data element definitions. All current and future requirements for individual consumer and service data and information shall be identified and addressed collaboratively by the Department and CSBs in accordance with the partnership agreement established in STATE BOARD POLICY 1034. The core services taxonomy and community consumer submission shall be developed and revised collaboratively by the Department and CSBs in accordance with that partnership agreement.

Finally, it is the policy of the Board that the Department and CSBs shall comply with the Health Insurance Portability and Accountability Act of 1996 and its implementing regulations, the Confidentiality of Alcohol and Substance Abuse Records (42 C.F.R. Part 2), and other applicable current or future federal statutes or regulations and any relevant current or future state statutes or regulations regarding confidentiality of information about individual consumers in their collection, transmission, disclosure, retention, and utilization of all individual consumer or service data and information.

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